



Aspen Web Electronic Plan of Correction (ePOC) Overview

Jeff Pung

Cedric A. Libiran

IT & FOIA Section

Health Facility Licensing, Permits and Support Division

Bureau of Community and Health Systems (BCHS)

Department of Licensing and Regulatory Affairs

April 5, 2016

1

ePOC Advantages Over SPOTS

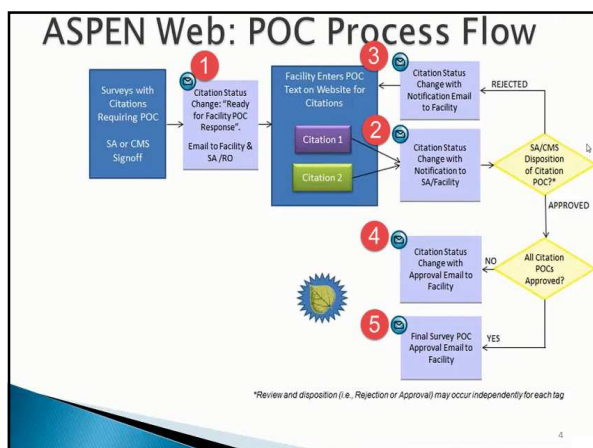
- Facility can submit separate tags upon completion
- BCHS can review separate tags
- System prompted email communication
- **NEW** - Includes Life Safety Code Surveys

2

ePOC Same As SPOTS

- Michigan will not be accepting attachments

3



ASPEN Web ePOC: Provider Access

- Facility Users Access via ASPEN Web: ePOC application
- Login through CMSNet
- QIES and CMSNet Account Required
- CMSNet Enrollment Request Forms on QTSO Website:
<https://www.qtsso.com/cmsnet.html>

ASPEN Web – Electronic Plan of Correction

ASPEN Web - Electronic Plan of Correction

Facility List View

ID#	Name	Address	City
130305	BACHMANN LIFE CARE CENTER	73 WEST 5TH STREET	LAKE VIEW
130326	BLOOMFIELD CARE CENTER	600 NORTH DAVIS STREET	BLOOMFIELD
130339	EDNA CITY RESNAIS HEALTH CARE	3415 KODACHROME AVENUE	EDNA CITY
130350	EDNA DRESSER SENIOR LIFE CENTER	300 PAUL BOULEVARD	DES MOINES
130338	EDNA LUTHERAN HOSPITAL	700 EAST UNIVERSITY	DES MOINES

Survey List View

Event Id	ISO Date	Event Date	Type	Status	Category	# Def	Submitted	Approved/Disapproved	PDC Due Date	Letters	Attachments
HEX011	07/18/2013	07/18/2013	Health	Open	K2M	0	0	0/0	07/26/2013	1	0
HEX012	07/18/2013	07/18/2013	Health	Open	AD	4	0	0/4	07/26/2013	1	0
HEX013	07/18/2013	07/18/2013	Health	Open	A	8	0	0/7	07/26/2013	1	0
HEX014	07/18/2013	07/18/2013	Health	Closed	H	0	0	0/0	07/26/2013	1	0
HEX015	06/24/2013	06/27/2013	Health	Closed	A	0	0	0/0	07/04/2013	1	0
HEX016	06/20/2013	06/20/2013	Health	Open	A	2	1	0/2	06/30/2013	1	0

Menu Link and Log Out

LOG OUT HERE

Facility Instructions
Nursing Home Facility

The plan of correction is a document that describes the actions that will be taken to correct the deficiencies identified in the survey report. It is a key component of the facility's quality improvement process and is used to track the progress of the plan of correction. The plan of correction should be developed by the facility and approved by the state. It should include a description of the deficiency, the actions that will be taken to correct the deficiency, and the timeline for completion. The plan of correction should be updated as needed and should be reviewed by the state. The plan of correction should be a living document that is updated as the facility's quality improvement process evolves.

Detailed View - Survey List Columns

Survey List

Search: Showing 1 to 19 of 19 entries

Event ID	SOD Sent	Exit Date	Type	Status	Category	# Def	Submitted	Approved/Unapproved	POC Due Date	Letters	Attachments
HEX811	07/10/2013	07/15/2013	Health	Open	K2M	1-Recertification	0/0	0/0	07/20/2013	1	0
HEX812	07/10/2013	07/15/2013	Health	Open	AD	E-Initial Certification	0/4	0/0	07/20/2013	1	0
HEX813	07/10/2013	07/15/2013	Health	Open	A	A-Complaint Investigation	0/7	0/0	07/20/2013	3	2
LO8811	07/10/2013	07/10/2013	Health	Closed	M	D-Follow-up/Revisit	0/0	0/0	07/20/2013	0	0
HEX814	04/24/2013	04/17/2013	Health	Closed	A	F-Inspection of Care	0/0	0/0	07/04/2013	1	0
HEX815	04/20/2013	04/20/2013	Health	Open	A	G-Validation	0/2	0/0	04/30/2013	0	1
HEX816	04/13/2013	04/13/2013	Health	Open	M	H-File Safety Code	0/0	0/0	04/21/2013	0	0
HEX817	05/08/2013	05/08/2013	Health	Open	M	J-Sanctions/Hearing	0/1	0/0	05/18/2013	0	0
HEX818	05/06/2013	05/06/2013	Health	Closed	M	K-State Licensure	1/0	0/0	05/16/2013	0	0
HEX819	05/02/2013	05/02/2013	Health	Closed	I	L-Change of Owner	1/0	0/0	05/12/2013	0	0
HEX820	04/26/2013	04/26/2013	Health	Open	A	B-Changing Ownership	0/2	0/0	05/06/2013	0	0
HEX821	04/25/2013	03/11/2013	Health	Closed	M	M-Other	0/0	0/0	04/23/2013	0	0

Survey Detail Screen

Survey Detail

Event ID: HEX811, SOD Sent: 07/10/2013, Exit Date: 07/15/2013, Status: Open, Category: K2M, # Def: 1, Submitted: 0/0, Approved/Unapproved: 0/0, POC Due Date: 07/20/2013, Letters: 1, Attachments: 0

DEFICIENCY

HEX811: A facility was cited for a deficiency related to the facility's quality improvement process. The deficiency was identified during a survey conducted on July 10, 2013. The facility was cited for not having a plan of correction in place to address the deficiency. The facility was given 15 days to develop and submit a plan of correction to the state. The facility's plan of correction was submitted on July 15, 2013, and was approved by the state. The facility is required to implement the plan of correction by the POC Due Date of July 20, 2013.

Plan of Correction

The facility's plan of correction is a document that describes the actions that will be taken to correct the deficiency identified in the survey report. It is a key component of the facility's quality improvement process and is used to track the progress of the plan of correction. The plan of correction should be developed by the facility and approved by the state. It should include a description of the deficiency, the actions that will be taken to correct the deficiency, and the timeline for completion. The plan of correction should be updated as needed and should be reviewed by the state. The plan of correction should be a living document that is updated as the facility's quality improvement process evolves.

Submitting Multiple Tags

ASPEN Web - Electronic Plan of Correction

Survey Detail

Survey ID: 000001 Survey Date: 01/01/2015 Status: Open

Submit All Tags

Observation Text

Facility Response

Submit All Tags

13

Approved Tags

ASPEN Web - Electronic Plan of Correction

Plan of Correction

Survey ID: 000001 Survey Date: 01/01/2015 Status: Open

Submit All Tags

Observation Text

Facility Response

Submit All Tags

14

Rejected Tags

ASPEN Web - Electronic Plan of Correction

Plan of Correction

Survey ID: 000001 Survey Date: 01/01/2015 Status: Open

Submit All Tags

Observation Text

Facility Response

Submit All Tags

15

- Health
- Life Safety Code
- Recertification
- Revisit
- Complaint

- **New Facility Initial**
- **License Only Facility**

Auto Generated Email Communications

- Survey Results Posted
- Survey Results Re-Posted
- Facility POC Submitted
- POC Approval
- POC Rejected
- POC Late Notification
- Final POC Approved

22

ASPEN Web: POC Process Flow

Auto Generated Email Communications

1. Survey Results Posted
2. Facility POC Submitted
4. POC Approval
5. Final POC Approved

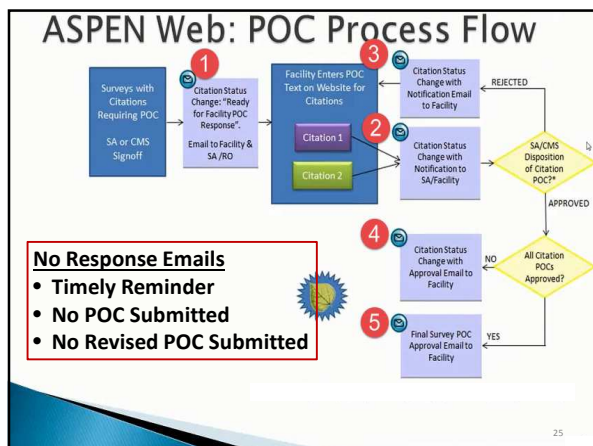
23

ASPEN Web: POC Process Flow

With Rejected Tags

1. Survey Results Posted
2. Facility POC Submitted
3. POC Rejected
- 2a. Facility POC Submitted
4. POC Approval
5. Final POC Approved

24



Survey Results Posted Email

► Sent to facility users when survey is posted to ePOC website

SUBJECT: Statement of Deficiencies (SOD) Posted; 9EF711 – BAXTER HEALTH CARE CENTER (Survey Completed 05/15/2013)
 Facility: 165398/BAXTER HEALTH CARE CENTER
 Facility Type: SNF/NF
 Survey Category: CMPIVT
 Survey Dates: 05/15/2013 – 05/15/2013
 Event ID: 9EF711
 Plan of Correction (POC) Due Date: 05/25/2013

The Statement of Deficiencies for the survey completed at your facility on the above referenced date has been posted on the ASPEN Web: Electronic Plan of Correction (ePOC) website. Please log in to the CMS-NET VPN, then login to the ePOC system via the QIES to Success website (<https://qiesnet.org/qiestosuccess>) to review the deficiencies and to enter Plan of Correction (POC) information, if required.

Contact your state survey agency or CMS regional office, as appropriate, with questions regarding this matter.

Please do not reply to this message.

Thank you.

26

Survey Results Re-Posted Email

► Sent to Facility Users when survey is changed and re-posted on ePOC web site

SUBJECT: Statement of Deficiencies (SOD) Re-posted; DONX11 – BAXTER HEALTH CARE CENTER (Survey Completed 03/23/2013)
 Facility: 165398/BAXTER HEALTH CARE CENTER
 Facility Type: SNF/NF
 Survey Category: CMPIVT, OTHER
 Survey Dates: 03/22/2013 – 03/23/2013
 Event ID: DONX11
 Reposting Date: 05/15/2013

The results of the survey completed at your facility on 03/23/2013 have been revised and re-posted on the ASPEN Web: Electronic Plan of Correction (ePOC) website. Please login to the CMS-NET VPN, then login to the ePOC system via the QIES to Success website (<https://qiesnet.org/qiestosuccess>) to review the changes made to the following citations and re-submit the Plan of Correction (POC) information, if needed:

27

Survey Results Re-Posted Email (Cont)

-Tag 0152-RIGHTS EXERCISED BY REPRESENTATIVE
-Tag 0156-NOTICE OF RIGHTS, RULES, SERVICES, CHARGES

Newly added tags.

Please note that re-posting of this survey will not delay the imposition of any possible federal remedies or sanctions. Contact your state survey agency or CMS regional office, as appropriate, with questions regarding this matter.

Please do not reply to this message.

Thank you

28

Facility POC Submitted Email

- ▶ Sent to Facility Users when a POC for a tag is submitted to DOH

SUBJECT: Facility POC Submission for Tag 0176 - DG7V11-IOWA LUTHERAN HOSPITAL (Survey Completed 08/27/2012)

Facility: 165130/IOWA LUTHERAN HOSPITAL

Facility Type: SNF

Survey Dates: 08/27/2012 - 08/27/2012

Event ID: DG7V11

Your Plan of Correction (POC) for Tag: 0176/RESIDENT SELF-ADMINISTER DRUGS IF DEEMED SAFE was received via the ASPEN Web: Electronic Plan of Correction website on 04/09/2013.

If you feel this POC was submitted in error, please contact your state survey agency or CMS Regional Office immediately.

Contact your state survey agency or CMS regional office, as appropriate, with questions regarding this matter.

Please do not reply to this message.

Thank you

29

POC Approval Email

- ▶ Sent to Facility Users when DOH approves the POC for a tag

SUBJECT: POC for Tag# 0156 Approved: 35ED11 BLACKHAWK LIFE CARE CENTER (Survey Completed 05/06/2013)

Facility: 165499/BLACKHAWK LIFE CARE CENTER

Facility Type: SNF/NF

Survey Category: OTHER

Survey Dates: 05/06/2013 - 05/06/2013

Event ID: 35ED11

Your Plan of Correction (POC) for Tag: 0156/NOTICE OF RIGHTS, RULES, SERVICES, CHARGES was approved on 05/15/2013.

Contact your state survey agency or CMS regional office, as appropriate, with questions regarding this matter.

Please do not reply to this message.

Thank you

30

POC Rejected Email

Sent to Facility Users when DOH Rejects the POC for a tag

SUBJECT: POC for Tag #0151 Rejected: DOHX11 – BAXTER HEALTH CARE CENTER
(Survey Completed 03/23/2013)

Facility: 165398/BAXTER HEALTH CARE CENTER

Facility Type: SNF/NF

Survey Category: CMPIVT, OTHER

Survey Dates: 03/22/2013 – 03/23/2013

Event ID: DONX11

Your Plan of Correction (POC) for Tag: 0151/RIGHT TO EXERCISE RIGHTS – FREE OF REPRISAL was rejected on 05/14/2013 for the following reason(s):

-Does not contain elements detailing how the facility will correct the deficiency as it relates to the individual.

Please submit a revised POC via the ASPEN Web: Electronic Plan of Correction (ePOC) website. Please login to the CMS-NET VPN, then login to the ePOC system via the QIES to Success website (<https://web.qiesnet.org/qiestosuccess>) as soon as possible or by a date that may be specified in comments in ePOC.

Contact your state survey agency or CMS regional office, as appropriate, with questions regarding this matter.

Please do not reply to this message.

Thank you

31

SOD Acknowledgement Required Email

Sent to Facility Users when a deficiency-free survey has not been acknowledged by the POC Due Date

SUBJECT: Statement of NO Deficiencies - Acknowledgement Required: BNBV12 – DUNLAP NURSING & REHAB CENTER (Survey Completed 05/13/2013)

Facility: 165193/DUNLAP NURSING & REHAB CENTER

Facility Type: SNF/NF

Survey Category: RECERT, REVST, LICEN

Survey Dates: 05/13/2013 – 05/13/2013

Event ID: BNBV12

SOD Acknowledgement Due Date: 05/31/2013

Please note that you are required to acknowledge the Statement of Deficiencies (SOD) for the above referenced survey, even though no deficiencies were issues. Your acknowledgement should be made immediately via the ASPEN Web: Electronic Plan of Correction (ePOC) website on the Survey Detail page. Please login to the CMS-NET VPN, then login to the ePOC system via the QIES to Success website (<https://web.qiesnet.org/qiestosuccess>).

Contact your state survey agency or CMS regional office, as appropriate, with questions regarding this matter.

Please do not reply to this message.

Thank you

32

Deficiency Free Surveys

The screenshot displays two parts of the ASPEN Web interface. The top part is the 'Survey List' page, which shows a table of surveys. A red circle labeled '1' highlights the 'Status' column, and another red circle labeled '2' highlights the 'Acknowledgement Due Date' column. The bottom part is the 'Survey Detail' page for Event ID: 0715/2013. A red circle labeled '3' highlights the 'Acknowledgement Due Date' field, which is set to 07/26/2013. Below this, the 'Observations' section is visible, showing a message: 'Based on an abbreviated survey completed on July 15, 2013, at this facility, it was determined that there were no deficiencies under the requirements of 42 CFR Part 485, Subpart E, Appendices A through C, and Part 485.100(a)(1)(ii) through (vii) for this facility.'

33

Deficiency Free Surveys

Survey Detail

Facility: F888 - N/A

Event ID: HT0012 Survey Dates: 07/10/2013 Status: **Closed** 2567 Back

INITIAL COMMENTS

Observations:
Based on an abbreviated survey completed on July 10, 2013, at this facility, 0 new observations were up.

Plan of Correction

Completion Date: 07/10/2013
Status: N/A
Date: 07/10/2013

Survey List

Showing 1 to 25 of 25 entries Back

Event ID	SOD Start	Exit Date	Type	Status	Category	# Def	Submitted	Approved/Implemented	POC Due Date	Letters	Attachments
HT0012	07/10/2013	07/10/2013	Health	Closed	COM	0	0	0/0	07/20/2013	0	0
HT0013	07/10/2013	07/10/2013	Health	Open	AD	4	0	0/4	07/20/2013	1	0
HT0014	07/10/2013	07/10/2013	Health	Open	A	8	4	3/5	07/20/2013	3	2
HT0015	07/10/2013	07/10/2013	Health	Closed	IS	0	0	0/0	07/20/2013	0	0

34

Final POC Approved Email

- Sent to Facility Users when all POCs for a survey have been approved

Subject: Final POC Approved: 35ED11 - BLACKHAWK LIFE CARE CENTER (Survey Completed 05/06/2013)

Facility: 165499/BLACKHAWK LIFE CARE CENTER

Facility Type: SNF/NF

Survey Category: OTHER

Survey Dates: 05/06/2013 - 05/06/2013

Event ID: 35ED11

The Plans of Correction for all tags on this survey have been approved by the SA/RO on 05/15/2013. Please ensure that your Correction Action Plans are implemented and follow the principles of a Quality Assessment and Performance Improvement (QAPI) plan as monitoring and follow-up may be done by the SA/RO.

Contact your state survey agency or CMS regional office, as appropriate, with questions regarding this matter.

Please do not reply to this message.

Thank you.

35

No Response Emails

- Sent to Facility Users when SOD has not been responded timely either for original posting or for rejected POCs

SUBJECT: Plan of Correction (POC) Overdue: BTQR13 - REGENCY REHAB AND SKILLED NURSING (Survey Completed 04/18/2013)

Facility: 165200/REGENCY REHAB AND SKILLED NURSING

Facility Type: SNF/NF

Survey Category: REVST, FEDMON

Survey Dates: 04/18/2013 - 04/18/2013

Event ID: BTQR13

Statement of Deficiencies (SOD) Posted Date: 04/18/2013

Please note that Plans of Correction (POC) for the referenced survey above are overdue for the following citation tags. Please submit the POC(s) immediately on the ASPEN Web: Electronic Plan of Correction (ePOC) website. Please login to the CMS-NET VPN, then login to the ePOC system via the QIES to Success website (<https://web.diesnet.org/qiestosuccess>):

- Citation 0151-RIGHT TO EXERCISE RIGHTS - FREE OF REPRISAL
- Citation 0154-INFORMED OF HEALTH STATUS, CARE, & TREATMENTS

Contact your state survey agency or CMS regional office, as appropriate, with questions regarding this matter.

Please do not reply to this message.

Thank you.

36

No Response Email Frequency

After The Survey POC Due Date:

Whichever is greater
10 calendar days after release to provider
or
after the survey POC Due Date with no POC received
and
every other day thereafter.

37

No Response Email Frequency

After POC Rejection:

Whichever is greater
3 calendar days after most recent POC rejection
or
after the survey POC Due Date with no POC received
and
every other day thereafter.

38

ASPEN Web ePOC System: Core Process

1. All ePOC-enrolled users for the facility receive "Survey Posted" email with survey identifying information.
2. Facility user logs in to QIES
3. Facility user selects pertinent facility, if applicable
4. Facility user selects pertinent survey record based on exit date and unique ID (Event ID).
5. Facility user reviews Statement of Deficiency information
6. For each tag, facility enters plan of correction (POC) text and completion date.
7. Facility user submits POC to State Agency/RO (SA/RO), by tag or as a group.
8. Facility users receive "POC Submission" email to indicate successful POC submission.
9. If SA/RO approves the tag's POC, facility users receive "Approved" email.
10. If SA/RO rejects the tag's POC, facility users receive a "Rejected" email, listing the reasons for rejection. Facility may then revise and re-submit the tag's POC.
11. Upon SA/RO approval of the survey's unapproved tag, facility users receive "Final Approval" email.
12. Facility user may print the survey report (2567 form/"A" form).

Facility
User
2-7

Facility
User

39

**Inquiries about your
SOD/POC content contact
your BCHS Long Term Care
Team Manager**

40

Contacts:

CMS ePOC User Registration at
<https://www.gtso.com/accessepoc.html>
Or Call: **888-238-2122**

41

Questions?

42
